

**Review of University of London Special Funding for the School of
Advanced Study**

July 2005

Summary

1. In October 2004 Sir Martin Harris was invited to examine the funding arrangements for the School of Advanced Study at the University of London and to make recommendations to the Funding Council (terms of reference, below, para 32). The invitation was pursuant to a recommendation in the 2000 report of an external panel, chaired by Sir Martin, of the funding for the School of Advanced Study.
2. Sir Martin carried out a series of consultations with representatives of the School, the University and its Colleges and external stakeholders and HEFCE officials. He found that the Institutes of the School continued to play an important role, especially in the facilitation of research in its various disciplines, and was valued by the communities it served. There was evidence of greater strategic leadership.
3. The Special Funding arrangements recommended in 2000, including those finally agreed between HEFCE and the central University, had worked satisfactorily, giving the central University freedom to develop the School and its Institutes, and providing a light-touch system for accountability.
4. The unique nature of the School meant that its location and its funding were not straightforward for HEFCE. To date, Special Funding had worked satisfactorily, but the Funding Council would need to give thought to longer-term arrangements. In short, in respect of the future funding of the School itself, HEFCE should enter into discussions with AHRC (see para 14 below), while simultaneously there should be a review of the arrangements for library provision in Bloomsbury more generally, not just in respect of the research needs of the School and its users but also because of the role of the Senate House Library (until 2004 known as the University of London Library) in serving the needs of undergraduate students and others (see para 17 below).
5. Accordingly, the following recommendations are made to HEFCE:
 - Retain the Special Funding line for the central University at the current level in real terms and through the present route until 2008-09, but communicate to the central University that there is no presumption that current arrangements will continue after that date.
 - Sponsor a review, with the University, its Colleges and stakeholders (e.g. the British Library), of library provision in central London for undergraduate, postgraduate and research purposes and how that should be funded after 2008-09. In addition to the specialist collections of the School of Advanced Study and the central University library in

Senate House (together forming University of London Research Library Services), this review should also examine the HEFCE Special Funding currently allocated to the SOAS and Courtauld libraries (reviews of which were suggested by the KPMG review in 2004 of HEFCE's special funding initiatives).

- Review the options available for the location and funding of the Institutes as national centres of excellence in research facilitation in their fields, taking into account relevant developments in the University of London and opportunities presented by the recent creation of the AHRC.
- Give consideration to support from the SDF for start-up support for a new Institute of Musical Studies within the School, as a national centre for research facilitation in this important area for the creative industries, with longer-term funding addressed through the review suggested here of the School as a whole.

Findings and Recommendations

6. The review found there are no significant grounds to doubt the utility of the School of Advanced Study, which clearly remains and is seen as a unique and valuable national resource, meriting public support.

7. To many users, it is the individual Institutes, rather than the School itself, which are familiar as sources of research facilitation. Some Institutes received overwhelmingly positive reviews – especially the Institute of Advanced Legal Studies (it is worth noting that support from this sector might translate at some stage into more tangible form). There was also noticeably strong support for the Warburg Institute. In general, the responses to the consultation were more diverse than in 1999-2000, with some perceptive responses noting that the future of the University of London and its library resources are key issues for the future of the School.

8. Although the various academic communities often recognise and respond to the services of the individual Institutes rather than the School as a whole, there is nevertheless evidence of a more strategic approach by the School in recent years. In addition, the review noted the restructuring of several Institutes, new leadership in some Institutes and the School as a whole, and several interesting ideas for development. The most developed of these is the creation of a new Institute of Musical Studies within the School, to be a national centre for the facilitation and encouragement of research in this important area for the creative industries. A bid to the HEFCE Strategic Development Fund is in development, with a request for start-up funding, and the report finds it worthy of sympathetic examination.

9. The location of the School in the central University reflects its national, regional and university-wide role. Most of the academic activities of the University are located in its constituent Colleges, but the absorption of the School into a single College of the University would be unlikely to win the support of the other Colleges. The current discussions about the future of the University of London are relevant here. Similarly the distribution of the various Institutes across several colleges would involve the fragmentation of the School and the loss of overall strategic direction and synergies.

10. The funding system set up in 2001, whereby HEFCE makes an annual Special Funding grant to the central University of London that includes funding in respect of the School of Advanced Study, operates as intended. It is straightforward for HEFCE to uplift Special Funding for inflation annually. The block grant principle that applies to the grant gives the central University freedom to deploy the funds as needed between the various activities of the School and the various library needs. Monitoring is not regarded as burdensome by the University: it has been carried out via submission of a return through the annual monitoring statement and annual reports from the School. (This has replaced the original idea of an annual business plan submitted to HEFCE for approval).

11. The RAE in 2008 will provide the basis for research funding across the sector from 2009-10. HEFCE is also preparing a review of its Teaching funding on a comparable timetable. This suggests that the current Special Funding arrangements should continue until 2008-09.

- **Recommendation:** Retain the Special Funding line for the central University of London at the current level in real terms and through the present route until 2008-09, but communicate to the central University that there is no presumption that current arrangements will continue after that date.

12. The activity funded by the Council's Special Funding stream can be separated into two main aspects: the academic activities of the Institutes of the School of Advanced Study, and the provision of Library resource by the central University. That can be seen from the Annex, provided by the University, which shows the internal allocation of the University's Special Funding stream over the last three years.

13. Longer-term funding for the School presents HEFCE with a number of challenges. The School provides research facilitation, rather than conventional research outputs. Rolling its funding into an HEI's core grant would not necessarily guarantee support for its unique role, and the quality of its service is not easily measured by the RAE. It is hard to see an alternative, so long as it is funded by HEFCE, to the special funding route.

Against this should be set HEFCE's declared wish to reduce Special Funding lines, and the difficulty for HEFCE – given the inapplicability of the RAE - in assessing the quality of the School and estimating the appropriate level of grant.

14. There is a strong argument that such judgments should properly be made by the academic communities themselves, where the relevant responsibility is exercised by the Research Council. In the absence of a Research Council for the Arts and Humanities, HEFCE has played an important role. The major change since 2000, however, is the arrival of the AHRC, which is precisely intended to make academic judgements of this kind.

- **Recommendation:** Review the options available for funding the Institutes of the School of Advanced Study as national centres of excellence in research facilitation in their fields, taking into account relevant developments in the University of London and opportunities presented by the recent creation of AHRC, with the possibility that funding at current levels might eventually be permanently transferred.

15. The School has several ideas for development, reflecting the input of new management since 2000. Prominent among these is an initiative to create a new Institute of Musical Studies within the School, to pull together and boost research and knowledge transfer in a range of music studies programmes, within the University and beyond, in London and farther afield. Such a development could help to give new life to the discipline and to the School as a whole.

- **Recommendation:** Give consideration to support from the SDF for start-up support for a new Institute of Music Studies within the School, as a national centre for research facilitation in this important area for the creative industries, with longer-term funding addressed through the review above of the School as a whole.

16. Within the Library provision, there is further separation of the specialist collections relating to each Institute – now amalgamated with the Senate House Library, forming the University of London Research Library Services – and the more general, undergraduate resources in the Senate House Library, which are used in greater or lesser measure by students of the various Colleges, depending on geography, course and availability of resource in their own college. The issue of arrangements for open-access undergraduate library provision in central London needs to be addressed, but is quite distinct from the future of the School's specialist library resources. In respect of which, we welcome the ongoing amalgamation of the Institute Libraries with the Senate House Library. In each case, any

relevant recent development in the structure of the University of London will need to be taken into account.

17. HEFCE may also wish to take this opportunity to review the Special Funding also currently allocated in respect of the SOAS and Courtauld libraries and collections. The KPMG review in 2004 of HEFCE's special funding recommended that both of these funding streams should be subject to review at an appropriate time.

- **Recommendation:** Sponsor a review, with the University, its Colleges and stakeholders (e.g. the British Library), of library provision in central London for undergraduate, postgraduate and research purposes and how that should be funded after 2008-09. In addition to the specialist collections of the School of Advanced Study and the central University library in Senate House, this review should also examine the HEFCE Special Funding currently allocated to the SOAS and Courtauld libraries (reviews of which were suggested by the KPMG review in 2004 of HEFCE's special funding initiatives). This does not of course presuppose a uniform solution for these very different resources.

Background

18. In 2000 HEFCE asked Professor Sir Martin Harris to chair an expert panel to advise the Council on the special funding arrangements for the central University of London in respect of the School of Advanced Study. The panel's recommendations have formed the basis of the Special Funding for the central University since then. Sir Martin recommended that the operation of the Special Funding arrangements be reviewed after four years (i.e. autumn 2004).

19. The constituent Colleges of the University of London are each directly funded by HEFCE. The Courtauld Institute of Art, formerly one of the University's central Institutes, became a College in 2002 and is now also directly funded by HEFCE. The central University also receives HEFCE funding for those activities for which it retains responsibility and which are themselves not funded by the Colleges through the charging mechanism that was introduced following the HEFCE Funding Review in 1993. The largest allocation from the HEFCE Special Funding is that made to the School of Advanced Study and the Senate House Library. This has fundamentally remained constant, other than the annual GDP deflator uplift applicable to special funding, since its inception.

20. HEFCE funding for the central institutes and the Senate House Library recognises their value to the University as a whole and to the region and the national HE constituency more generally. In addition to the School of Advanced Study and the Senate House Library, the central

University has responsibility for two other activities: the University of London Institute in Paris and the University Marine Biological Station at Millport.

21. The School of Advanced Study was formally constituted in 1994 and is managed by a Dean. The School comprises the following Institutes of Advanced Study:

Institute	Date established
Institute of Advanced Legal Studies	1947
Institute of Classical Studies	1953
Institute of Commonwealth Studies	1949
Institute of English Studies	1998
Institute of Germanic and Romance Studies	2004
Institute of Historical Research	1921
Institute for the Study of the Americas	2004
Warburg Institute	1944
N.B. The following new Institutes were created with effect from 1 August 2005:	
Institute of Musical Studies	2005
Institute of Philosophy (previously the Philosophy Programme)	2005

22. The Institutes in the School of Advanced Study are located in or near the Senate House building of the University of London. Those that register students do so exclusively at postgraduate level.

23. The mission of the School of Advanced Study is to serve national and international interests in the promotion and facilitation of research and advanced study in the humanities and social sciences. The main activities of the Institutes of the School include:

- Library and other information services
- Seminars, workshops and conferences
- Research and fellowship programmes
- Publication programmes
- Research-related teaching and training

24. The library activities of the Institutes are complementary to those of the Senate House Library, which is also in receipt of Special Funding (including RSLP Access funding) in respect of its role as a national research resource. This complementarity is further emphasised by the fact

that three of the Institutes receive RSLP Access funding for the same reason.

Funding arrangements

25. Funding for the School of Advanced Study is channelled through the Special Funding stream known as London Whole Institution funding (LWI). This funding stream was originally introduced in 1993, on the basis of a study earlier carried out by the UFC's University of London Federal Policy Group (FPG). The major part of the funding stream that remains is for the central Institutes and the Senate House Library. In 2004-05 the special funding is £7,485,284.

26. In 2000 the HEFCE Board decided to review whether the specialist work and activities of the School of Advanced Study justified its special funding – taking into account research quality, and the contribution which the School made within the relevant subject communities, in London, nationally and internationally. A review panel of external specialists, chaired by Professor Sir Martin Harris, carried out a peer review exercise that considered in depth the rationale for the organisation and funding of the School, including an analysis of quality, costs, value for money, etc.

27. The panel recommended that the School, in recognition of its standing as a national resource, merited the continuation of its Special Funding. It judged that the RAE was an inappropriate measure for judging the value of its research facilitation activity, but that in due course (possibly on a quinquennial or RAE cycle basis) the level of its funding should be determined on the basis of peer review.

Developments since 2000

28. Since the arrival of Sir Graeme Davies as Vice-Chancellor in 2003 and the appointment of a new Dean, there have been significant changes relating to the School of Advanced Study. The bi-monthly meeting of Heads of Colleges has recently been given an overview of the deployment of Special Funding, and collaborative activity between Institutes has increased. Four of the Institutes have been merged into two new Institutes (Latin American Studies and United States Studies to the Institute for the Study of the Americas, Germanic Studies and Romance Studies to form the Institute of Germanic and Romance Studies) and further changes are currently taking place, including the development of new Institutes of Philosophy and Musical Studies. Three of the Institutes currently outside Senate House will be physically relocated in the central building complex over the coming eighteen months, and their libraries will be located within the Senate House Library.

29. This convergence between Institutes, and between the Institute Libraries and the Senate House Library, will lead to significant gains, not only in terms of the gathering of the research resource and new synergies of the associated intellectual activities, but also in the rationalisation of management, staffing, and collection building. The convergence between the Senate House Library and the Institute libraries that is currently well under way will significantly increase the added value to the national scholarly community which uses these resources.

The 2005 review

30. In autumn 2004 CEG agreed to implement a clause of Sir Martin's report in 2000, which recommended that the operation of the funding arrangements put in place following that report be reviewed after some four years.

31. On this occasion it was judged sufficient for Sir Martin alone to conduct a review, supported by HEFCE officers.

32. The terms of reference for the review were:

- to examine the operation of Special Funding arrangements for the School of Advanced Study at the University of London and advise the Council of their effectiveness, in the light of the recommendations of the review panel in 2000, the decision of HEFCE Board in 2001 and the subsequent agreement with the University;
- to suggest an appropriate mechanism for reviewing the Special Funding arrangement, and determining the appropriate level of Special Funding for the School of Advanced Study after 2008.

33. Sir Martin consulted a range of stakeholders and interested parties, including the Colleges of the University and the subject communities served by the School. Meetings were held with HEFCE officers and with the Vice-Chancellor and senior managers of the central University and the Dean of the School of Advanced Study.

34. Sir Martin was supported in the review by Robin Jackson, Regional Consultant for London, and secretariat supplied by Matt Edwards, HE Adviser.

University of London

Special Funding Allocation 2002/3 to 2005/6

	2002/3	2003/4	2004/5	2005/6
Courtauld	116,830	0	0	0
University of London Library	882,827	896,497	918,909	0
University of London Research Libraries	0	0	0	4,367,758
School of Advanced Study				
Advanced Legal Studies	994,232	1,015,174	1,039,948	4,739
Classical Studies	365,959	374,193	381,713	12,870
Commonwealth Studies	383,643	392,245	400,765	82,875
English Studies	99,255	101,890	106,774	109,736
Germanic Studies	234,114	240,357	0	0
Historical Research	1,115,007	1,139,824	1,158,948	723,119
Latin American Studies	442,435	451,937	0	0
Romance Studies	84,154	86,852	0	0
United States Studies	145,254	148,955	0	0
Warburg Institute	1,075,142	1,098,900	1,123,329	327,364
Germanic & Romance Studies	0		335,703	170,418
Study of the Americas	0		620,045	441,234
SAS Central	289,098	382,087	401,001	411,146
University Marine Biological Station	397,517	406,461	416,623	427,163
University of London Institute in Paris	4,157	0	0	0
Deaneries	214,887	219,722	225,215	230,913
London Activities	414,338	347,622	356,312	365,328
Total	7,258,850	7,302,716	7,485,284	7,674,662

NOTES:

1. The Courtauld Institute of Art became directly funded by HEFCE with effect from 1 August 2003 when funding was transferred from the central University.
2. The Institute of Germanic Studies and the Institute of Romance Studies were merged with effect from 1 August 2004.
3. The Institute of Latin American Studies and the Institute of United States Studies merged to form the Institute for the Study of the Americas with effect from 1 August 2004.
4. With effect from 1 August 2005 the libraries of the SAS Institutes were combined with the Senate House Library to form the University of London Research Library Services. The Special Funding previously allocated to the individual Institutes in respect of the Library function was transferred to the combined Library.

